KNOWLEDGE MANAGEMENT/TRANSFER

Report of the Knowledge Management/Transfer Workgroup

Sponsored by:

NYS Department of Civil Service
George C. Sinnott, Commissioner

NYS Governor's Office of Employee Relations
George H. Madison, Director

George E. Pataki, Governor

November 2002

In sponsoring the workgroup, the Department of Civil Service and Governor's Office of Employee Relations in no way indicate endorsement of the perspectives, opinions, and recommendations presented in this report.

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Introduction to Knowledge Management/Transfer

WHY KNOWLEDGE MANAGEMENT/TRANSFER?

As public organizations prepare for the potential mass departure of valuable staff, they are looking toward preserving the knowledge that these seasoned employees have amassed. Organizations have been downsizing through hiring freezes, retirements, and other turnover. The employees left behind, meanwhile, are bombarded with more information, as well as rapid changes in processes and technology, made worse by having fewer people to handle the load. Another effect of a reduced workforce is a smaller pool of knowledge and expertise. Thus, managing and exploiting that knowledge becomes paramount.

Growth in the volume of information available and rapid technological progress has forced most people into a state of information overload. This has left organizations scrambling to create systems for acquiring, retaining, and accessing an overwhelming volume of data. Added to this is the demand for highly specialized knowledge that is often difficult to find and retain. Knowledge management is one method for ensuring that years of accumulated wisdom do not leave the organization once the employee retires or moves on. The challenge is to create an atmosphere that fosters knowledge sharing, while simultaneously underscoring that transferring knowledge is a way for employees to leave a legacy that will ultimately help the organization long after they leave.

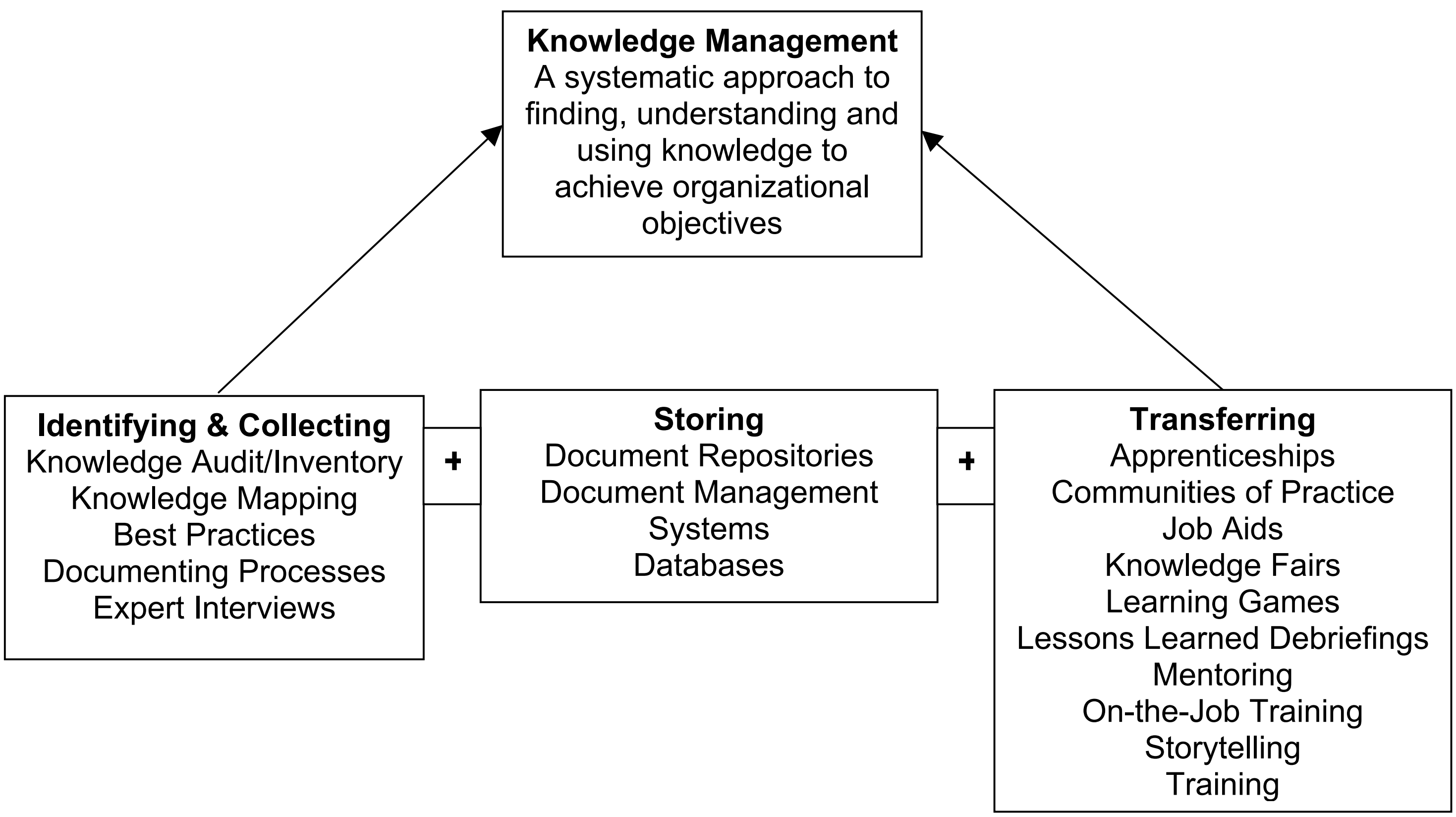
Many of us do not think in terms of managing or transferring knowledge, yet we all do it. Each of us is a personal store of knowledge gained from our experiences, training, and informal networks of friends and business acquaintances that we seek out when we want to solve a problem or explore an opportunity. Essentially, we get things done and succeed by knowing an answer or how to find an answer, or knowing someone who can. Until relatively recently, sharing or absorbing knowledge was considered a personal endeavor. Now organizations are discovering that managing knowledge and ensuring its transfer creates value by compounding its use to increase productivity and innovation. As New York State prepares for the departure of “baby boomers” and recognizes that staff change jobs and careers more frequently than in the past, knowledge management and knowledge transfer are becoming more important.

Generally speaking, the term “knowledge management” (KM) represents a broader concept, and is thought of as a system for finding, understanding, and using knowledge to achieve organizational objectives. It is more than simply moving or transferring files and data from one employee (or department) to another. KM allows others to build upon a person’s life experience in a way that strengthens not only the employee, but the organization as a whole. “Knowledge transfer” (KT) describes the actual movement of knowledge from one individual to another.

Organizations that effectively manage knowledge claim higher rates of productivity. They use greater access to employees’ knowledge to make better decisions, streamline processes, reduce re-work, increase innovation, have higher data integrity, and have greater collaboration. The result is reduced cost of operations and improved customer service. Managing knowledge is especially helpful for large organizations where geographical and functional distances inhibit workers from knowing and benefiting from the work of others.

The fields of knowledge management and knowledge transfer are rapidly evolving. Definitions, approaches, and methodologies are being refined all the time. The information presented here represents the workgroup's understanding to date. Keep in mind that much of what is presented can be integrated into existing programs and efforts. It is not necessary to institute a large-scale organization wide KM program to begin to manage and transfer knowledge.

The diagram below represents our view of how knowledge transfer and the overall field of knowledge management fit together. Information on each of the strategies listed in the boxes is in this report or will be added as understanding increases and as readers share their perspectives and strategies.



KNOWLEDGE MANAGEMENT/TRANSFER TERMINOLOGY

To understand knowledge management and knowledge transfer, it is helpful to examine distinctions between data, information, and knowledge.

Data is thought of as discrete, objective facts. Data is the raw material for creating information that by itself carries no judgment or interpretation, no meaning. (1)

Information is data that is organized, patterned and/or categorized. Nancy Dixon, author of *Common Knowledge,* describes information as data that has been sorted, analyzed and displayed, and is communicated through various means. (2) Davenport and Prusak, authors of *Working Knowledge,* describe information as "data that makes a difference." (3) Generally speaking, information changes the way a person perceives something thereby affecting judgment or behavior.

Knowledge is richer and more meaningful than information. Davenport and Prusak define knowledge as "a fluid mix of framed experience, values, contextual information, and expert insight that provides a framework for evaluating and incorporating new experiences and information." (4) Dixon describes knowledge as "meaningful links people make in their minds between information and its application in action in a specific setting." (5)

One gains knowledge through experience, reasoning, intuition, and learning. Because knowledge is intuitive, it is difficult to structure, can be hard to capture on machines and is a challenge to transfer. We often speak of a “knowledgeable person,” and by that we mean someone who is well informed, reliable, and thoroughly versed in a given area of expertise. We expand our knowledge when others share their knowledge with us and we create new knowledge when we pool our knowledge together.

The Working Council of the Federal Chief Information Officers Council in its publication "Managing Knowledge at Work: An Overview of Knowledge Management" boils it down to the simplest terms, as shown in the following box:

Data	=	Unorganized Facts
Information	=	Data + Context
Knowledge	=	Information + Judgment

While it is useful to examine these concepts, it is best not to get caught up in the fine distinctions. One person's knowledge can be another's information. Even the experts don't agree on strict definitions and the terms are often used interchangeably because the differences are frequently a matter of degree. (6)

Knowledge exists on a continuum from explicit to tacit. At one end of the continuum is knowledge that can be laid out in procedures, steps, and checklists, - explicit knowledge. At the other end of the continuum is knowledge that is primarily in the heads of people - tacit knowledge. (7)

- **Explicit knowledge** is relatively easy to capture and store in databases and documents. It is shared with a high degree of accuracy. Explicit knowledge can be either structured or unstructured:

    - **Structured** – Individual elements are organized in a particular way or schema for future retrieval. It includes documents, databases, and spreadsheets.

    - **Unstructured** – The information contained is not referenced for retrieval. Examples include e-mail messages, images, training courses, and audio and video selections.

- **Tacit knowledge** is knowledge that people carry in their minds and is, therefore, difficult to access. Often, people are not aware of the knowledge they possess or how it can be valuable to others. Tacit knowledge is considered more valuable because it provides context for people, places, ideas, and experiences. Effective transfer of tacit knowledge generally requires extensive personal contact and trust.

OVERVIEW OF KNOWLEDGE MANAGEMENT/TRANSFER

Knowledge Management (KM) is a systematic approach to finding, understanding, and using knowledge to achieve organizational objectives. Many organizations today are putting a great deal of emphasis on the discipline of knowledge management. They are developing tools, systems, and awareness among employees that capturing and sharing knowledge is an important organizational practice. Knowledge management creates value when knowledge is shared and reused. While KM is a systematic approach, many KM practices and strategies can be implemented without establishing a formal KM program. And often this is the best approach.

The goal of KM is not to manage all knowledge, but to manage the knowledge that is most important to the organization. It involves applying the collective knowledge and abilities of the entire workforce to achieve specific organizational objectives. It involves getting the *right information to the right people at the right time*, and helping people create and share knowledge and act in ways that will measurably improve individual and organizational performance.

The discipline of knowledge management has three major components:

- **People** - who create, share, and use knowledge, and who collectively comprise the organizational culture that nurtures and stimulates knowledge sharing.
- **Processes** - the methods to acquire, create, organize, share and transfer knowledge.
- **Technology** - the mechanisms that store and provide access to data, information, and knowledge created by people in various locations.

Managing knowledge consists of deciding

- **What** is to be shared.
- **With whom** it is to be shared.
- **How** it is to be shared.

Then it is a matter of **sharing** and **using** the knowledge.

The People Component

While all three elements are necessary for a successful Knowledge management venture, the people component is the most vital. Overall success is dependent upon people's willingness to share their years of accumulated knowledge so that others can reuse it. The willingness to share is heavily dependent upon building an atmosphere of trust. Trust, or lack of it, can make or break a KM effort.

Smaller organizations - those with fewer than 150 employees - have had an easier time adapting to KM than their larger counterparts. Generally, employees in smaller organizations share information more easily because they tend to know more co-workers, contact is easier and more frequent, and is most often

face-to-face. In this atmosphere, there is a stronger sense of trust and connection to each other; thus, knowledge sharing is better facilitated.
In larger organizations, knowledge sharing is more difficult because people are more apt to organize into small groups that tend to cluster their interactions among themselves. People across the organization are less likely to know each other; trust is harder to build among strangers. This does not mean that KM is impossible in large organizations. Rather, the organization must work toward creating an environment that fosters knowledge management as an organizational principle and stresses the importance of sharing information across organizational boundaries. Processes and technology become more important in larger organizations.

Being able to trust the source of information is critical. A well-respected member of the organization is likely to be looked to first for information, based on his or her expertise, rather than a newer or younger employee. Also, studies have shown that, in general, people will contact their co-workers before tapping into a database or calling technical support staff when they need knowledge.

The success of KM initiatives depends upon people's willingness to share knowledge and use the knowledge of others. The commonly held belief that knowledge is power can undermine knowledge sharing. Many people are reluctant to share knowledge because they fear they are relinquishing their power. This can translate into perceived lower marketability, job threat, and loss of organizational status. Low morale, conflict, and mistrust also act as barriers to people's willingness to share. Finally, people want credit for their ideas. If they suspect they will not be acknowledged, they will be more reluctant to share information.

Managers must be attuned to the organizational dynamics and act appropriately to ensure that negativity is minimized. Organizations must create an atmosphere that encourages and rewards KM. Some organizations acknowledge employees who have shared valuable knowledge at a recognition function or in some other public venue.

The Process Component

Organizations create and implement processes to acquire, create, organize, share, and transfer knowledge. These processes (more fully described under the strategies) include the following: [See Strategies, pg. 22.]

- Performing knowledge audits to determine and locate the knowledge that is needed.
- Creating knowledge maps to allow quick access to knowledge.
- Creating communities of practice or interest to share tacit knowledge.
- Collecting best practices and lessons learned to share knowledge.
- Managing content to keep knowledge current and ensure that the knowledge being retained is relevant.
- Telling stories to convey knowledge.
- Encouraging learning to facilitate the transfer and use of knowledge.

The Technology Component

Computer and telecommunications technology is probably how most organizations will choose to store and manage their information. It allows for easy access, reduces time and effort, and literally saves space.

Technology provides the means for people to gather, organize, store, and access explicit knowledge. It can also enable people to share their tacit knowledge without being face to face. It can increase the accessibility of knowledge, reduce the time and effort to record and keep it current, and facilitate interaction with citizens, customers, and stakeholders.

Networks and computers are able to connect people and store information that can be retrieved quickly. Technology can be used to research and point the seeker to a source for knowledge sharing. Chat rooms can be useful because of the interactivity. The information seeker can use the Internet to locate research documents and obtain information on the path to gaining knowledge.

There are many technological tools available to help facilitate knowledge transfer; however, they are beyond the scope of this research. The focus here is on more practical tools and strategies that do not require sophisticated technology.

In summary, knowledge transfer is the process of sharing knowledge between one person and another. Knowledge must be transmitted and absorbed/ learned before another person can use it. If knowledge is not absorbed, then knowledge is not transferred. To most effectively transfer knowledge, it is essential to have willing givers/providers and interested recipients.

STRATEGIES FOR KNOWLEDGE MANAGEMENT/TRANSFER

There are many ways for an organization to identify, store, and transfer knowledge. Some strategies will work better in one organization than another. Some may not be appropriate for specific types of content. The challenge is to identify and develop complementary ways to further knowledge management and transfer in an organization. Each of the strategies listed below has or will have a link to more detailed information.

Apprenticeships, Internships, and Traineeships: Formal arrangements where an experienced person passes along knowledge and skill to a novice who, after a designated period of time, reaches the journey level. Examples in New York State include apprenticeships for occupations such as electricians, plumbers, and steamfitters; one-to-three year traineeships for computer programmers or administrative titles; and summer internships used by many State agencies. (See Apprenticeships, Internships and Traineeships, page 22.)

Best Practices: The identification and use of processes and/or practices that result in excellent products or services. Best practices, sometimes called preferred practices, often generate ideas for improvements in other organizations or work units. (See Best Practices, page 24.)

Communities of Practice: Groups of individuals who share knowledge about a common work practice over a period of time, though they are not part of a formally constituted work team. Communities of practice generally cut across traditional organizational boundaries. They enable individuals to acquire new knowledge faster. They may also be called Communities of Interest if the people share an interest in something but do not necessarily perform the work on a daily basis. (See Communities of Practice, page 26.)

Documenting Processes: Developing a written or electronic record of a specific work process that includes the business case for the process, steps in the process, key dates, relationship to other processes that come before and after, key players and contact information, any required references and legal citations, back-up procedures, and copies of forms, software, data sets, and file names associated with the process. (More detailed account coming soon.)

Document Repositories: Collections of documents that can be viewed, retrieved, and interpreted by humans and automated software systems (e.g. statistical software packages). Document repositories add navigation and categorization services to stored information. Key word search capability is often provided to facilitate information retrieval. (More detailed account coming soon.)

Expert Interviews: Sessions where one or more people who are considered experts in a particular subject, program, policy, or process, etc. meet with others to share knowledge. Expert interviews can be used in many ways, including capturing knowledge of those scheduled to leave an organization, conducting lessons learned debriefings, and identifying job competencies. The U.S. Navy videotaped a multi-day session where recent retirees reflected on the reasons for success and failure. The New York State Department of Motor Vehicles videotaped a meeting with a manager scheduled for retirement to capture ideas and answers to questions. (See Expert Interviews, page 30.)

Job Aids: These are tools that help people perform tasks accurately. They include things such as checklists, flow diagrams, reference tables, decision tree diagrams, etc. that provide specific, concrete information to the user and serve as a quick reference guide to performing a task. Job aids are not the actual tools used to perform tasks, such as computers, measuring tools, or telephones. (See Job Aids, page 32.)

Knowledge Audits: Knowledge audits help an organization identify its knowledge assets, including what knowledge is needed and available. They provide information on how knowledge assets are produced and shared, and where there is a need for internal transfer of knowledge. (More detailed account coming soon.)

Knowledge Fairs: These events showcase information about an organization or a topic. They can be used internally, to provide a forum for sharing information, or externally, to educate customers or other stakeholders about important information. Examples are Xerox's "Team Day," New York State Department of Taxation and Finance's TaXpo, and New York State Organization Development Learning Network's (ODLN) Share Fair. (See Knowledge Fairs, page 34.)

Knowledge Maps and Inventories: These catalog information/knowledge available in an organization and where it is located. They point to information but do not contain it. An example is an Experts or Resource Directory that lists people with expert knowledge who can be contacted by others in need of that knowledge. (More detailed account coming soon.)

Learning Games: These structured learning activities are used to make learning fun and more effective, provide a review of material that has already been presented in order to strengthen learning, and evaluate how much learning has occurred. (See Learning Games, page 36.)

Lessons Learned Debriefings: These debriefings are a way to identify, analyze, and capture experiences, what worked well and what needs improvement, so others can learn from those experiences. For maximum impact, lessons learned debriefings should be done either immediately following an event or on a regular basis, with results shared quickly among those who would benefit from the knowledge gained. Hewlett Packard refers to their lessons learned sessions held during and at the end of projects in order to share knowledge as "Project Snapshots." The U.S. Army calls them "After Action Reviews." (See Lessons Learned Debriefings, page 38.)

Mentoring: In mentoring, an experienced, skilled person (mentor) is paired with a lesser skilled or experienced person (protégé), with the goal of developing or strengthening competencies of the protégé. See the Mentoring

<http://www.goer.state.ny.us/workforce/workgroups/Mentoring/mentoring.html> and Competencies < http://www.goer.state.ny.us/workforce/workgroups/competencies/competencies.html> Workgroup Reports.

On-the-Job Training: Most organizations use some form of on-the-job training where an experienced employee teaches a new person how to perform job tasks. If this happens at random or with no consistent written materials or processes, it is called unstructured OJT. A system of structured OJT differs in that specific training processes are written; training materials and guides exist and are used consistently by all those who train; training is scheduled; records are kept of training sessions; and “trainers” are given training on how to do OJT, how to give feedback, and several other factors. (See On the Job Training (OJT), page 43.)

Storytelling: This involves the construction of fictional examples or the telling of real organizational stories to illustrate a point and effectively transfer knowledge. An organizational story is a detailed narrative of management actions, employee interactions, or other intra-organizational events that are communicated informally within the organization. When used well, story telling is a powerful transformational tool in organizations. (See Storytelling, page 45.)

Training: Training encompasses a large variety of activities designed to facilitate learning (of knowledge, skills, and abilities or competencies) by those being trained. Methodologies can include: classroom instruction, simulations, role-plays, computer or web-based instruction, small and large group exercises, and more. It can be instructor-led or self-directed in nature. See the GOER Training and Organizational Development site <http://www.ric.goer.state.ny.us/training.shtml>, NYS Employee Resource Information Center <http://www.ric.goer.state.ny.us/training.shtml>, and the New York State Training Council’s site, <http://www.nystc.org/ >.

GETTING STARTED WITH KNOWLEDGE MANAGEMENT/TRANSFER

The emphasis in this section is on implementing a major KM initiative, but much of what is offered applies to smaller scale efforts as well. Any major new initiative requires a culture shift, or in some cases, a complete change. KM is no different. Organizations are challenged to construct an environment where individual knowledge is revered, but also to articulate that sharing that knowledge with the entire organization is even more revered.

For organizations deeply rooted in tradition, initiating a culture change is a challenge. If the organization is unwilling to change its culture to embrace the concepts and systems of KM, chances are the effort will fail.

Implementing a KM system takes time and effort. Regardless of why an organization wants to do it (e.g., retirement, high turnover, or specialty technical knowledge), it is important that it has management support and units in which to experiment. Among the best candidates for KM are units that are experiencing difficulty and actively seeking ways to address it. Not only will there be an opportunity to test KM's applicability, but the affected units are likely to be receptive to testing the system.

The next step is to find resources (financial, technical, and human), conduct pilot tests, and share the lessons learned along the way. A good approach is to conduct multiple pilots using different strategies so that the results can be compared. Organizations can then determine what worked and what did not, and fine-tune their KM system. When an endeavor is successful, other units may be inclined to try it.

Implementation is more than just handing off the project to information technology specialists or external vendors who promise results if you use their software. As mentioned, KM relies on people first, then process, and then technology. Implementing KM is a broad endeavor that cannot be accomplished with equipment alone.

A KM effort also benefits from an in-house champion who is responsible for furthering the initiative and promoting its merits to management, as well as to all employees. He or she works with the organization to provide resources, offer support, and encourage people to participate.

Additional ideas to help introduce or expand knowledge management include:

- **Start with "high-value" knowledge** – Determine the organization's business processes where information and knowledge are critical. Business processes with low customer/stakeholder satisfaction, long cycle time, or high production costs could all be effective places to start a KM project. Attacking these problems, identifying their knowledge component, and using the business value of solving them as justification for KM efforts can prove to be an effective strategy.

- **Start on a small scale** – Conduct a pilot project, publicize the results, and let the success of the pilot create demand for additional KM projects.

- **Work along multiple fronts** – Effective projects address issues related to people, technology, and organizational structure in a coordinated, linked manner.

- **Leverage existing approaches** – Many organizations have active initiatives intended to improve their business performance and outcomes. KM can build upon and enhance these initiatives.

- **Provide help throughout the organization quickly** – Provide training, facilitation, and other help to people involved in KM projects. This will increase their understanding and commitment to managing knowledge, and address the importance of changing culture and behavior for managing knowledge.

MEASURING KNOWLEDGE MANAGEMENT/TRANSFER

Like any other organizational initiative, management must be able to measure the success of individual KM projects, and their impact on achieving organizational goals. Many KM initiatives begin as pilot programs. According to the U.S. Department of the Navy, these performance measures, or metrics, help to:

- Provide a target or goal for KM efforts.
- Develop benchmarks for future comparisons and for others to use.
- Guide and fine-tune the implementation process by providing feedback.
- Measure, retrospectively, the value of the initial investment decision (in terms of time, staff resources and money) and the lessons learned.
- Aid learning from the effort and developing lessons learned.
- Make a business case for implementation. (8)

Well-designed performance measures provide information on the efficiency and effectiveness of people, processes, and programs in aiding knowledge transfer, and offer a way to focus attention on desired behaviors and results.

The most important consideration in measuring knowledge transfer is determining what you need to measure. Since some knowledge is tacit, or implicit, its transfer cannot always be directly or precisely measured. If the value of the information is in being able to apply it in analogous situations, you will want to find out if the application has occurred.

As an example, consider a community of practice organized to discuss member experiences in using negotiation and mediation techniques. A member expresses concern about how a negotiation process was stalled when a new party would not accept agreements already reached. The group then shares their knowledge of how to prevent and address this kind of problem. You could measure whether members of the community of practice heard and understood what was shared. Of more value would be to determine at a later date whether members used this knowledge to craft proactive strategies to successfully prevent or address similar breakdowns. Anecdotal stories rather than hard data collection are more important in understanding the relative worth of the knowledge transfer and the overall usefulness of the community of practice.

The measurement of knowledge transfer often focuses on two aspects: whether there has been a transfer of knowledge that has meaning and value to the organization, and analysis of the KM strategies themselves, such as a community of practice.

It's important that appropriate metrics be used, focusing on the organization's goals, people, and specific KM initiative. No "cookbook" of standard procedures exists. For information on developing KM measures, see Appendix A: Building Knowledge Management Measures Using The Navy's Approach, page 48.

SUPPORTING KNOWLEDGE MANAGEMENT/TRANSFER

Many factors contribute to the chances of successful implementation of knowledge transfer strategies, and/or a full KM initiative. Some things take years to develop; others are simpler and easier to put in place. Some may already be in place in your organization; others may present challenges.

Organizational Culture

- Executives support and encourage knowledge-creating activities.
- Efforts are taken to develop leaders who foster knowledge sharing, build an atmosphere of trust where sharing is valued, and make promotions based in part upon demonstrated sharing.
- The organization recruits and hires people who sought and applied knowledge in school and on the job.
- The organization hires employees with whom they would like to work and share knowledge.
- Sharing and using knowledge is encouraged and nurtured.
- Collaboration is the norm.
- Employees understand knowledge management and its value to them.
- Continuous learning for individuals and the organization is encouraged.
- Staff are flexible, forward looking, open to change, and seek continuous improvement.
- Leaders and staff take time to reflect upon and learn from experiences.
- Performance reviews incorporate sharing and use of knowledge.
- The organization recognizes and rewards employees who share knowledge. It does not reward or promote employees who hoard knowledge or negatively compete with others.

Relationships

- Staff are willing to share and reuse knowledge.
- Personal relationships encourage sharing knowledge of high value.

Rewards and Incentives

- Meaningful, long-term incentives are tied in with the evaluation and compensation systems, and highly visible short-term incentives are in place to motivate employees to create, share, and use knowledge.
- Individuals and teams are rewarded for promoting knowledge management when they:
    - Capture team discussions and decisions.
    - Mentor.
    - Document lessons learned.
    - Make tacit knowledge explicit.

Trust

- People know and trust the source of the knowledge. People more frequently contact someone they know before searching the corporate database or data warehouse. Technology is an important enabler to success of KM, but people make or break it.
- People share what they have when they believe others will share their knowledge with them.
- Trustworthiness starts at the top. Upper management's behavior defines the norms and values of the organization.
- Trust can be visible. People must get credit for knowledge sharing.

Senior Leadership Support

Senior leadership:
- Provides resources and encourages employees to share knowledge.
- Offers incentives to encourage sharing and use of knowledge.
- Identifies barriers that inhibit sharing and commits to overcome them.
- Endorses and supports KM through:
    - Articulating knowledge-sharing strategies.
    - Embedding KM into standard operating practices.
    - Allocating financial and human resources to KM.
    - Monitoring the value of knowledge management.
    - Identifying links to increased productivity and achievement of objectives.
- Promotes success stories.
- Maintains KM/KT alignment with organizational goals.
- Models desired behavior.
- Sends messages about the importance of KM and organizational learning to the success of the organization.
- Clarifies what type of knowledge is most important to the organization.

Technical and Organizational Infrastructure

- The organization uses technologies that are knowledge-oriented, such as group use software programs and the World Wide Web, and people have the skills to use them.
- Technologies for desktop computing and communications are available to all staff and they have standardized word processing, presentation software, etc. so documents can be exchanged easily.
- Staff use videoconferencing technology.
- There is an established set of roles, organizational structures, and skills that benefit individual projects (e.g., project managers, project management tools).

Link KM to Organizational Effectiveness, Efficiency, Or Overall Value

- The use of KM results in improved service or products, and/or the attainment of goals and objectives.

- The use of KM results in improved cycle time, customer satisfaction, reducing the number of phone calls, or other organizational goals or objectives.

Clarity of Vision and Language for Knowledge Management

- The organization has clarity of its overall purpose and for its KM initiative.
- The organization has terminology (e.g., "knowledge," "information," "learning," and "organizational learning") to help staff understand and incorporate knowledge sharing on a regular basis.

Some Level of Knowledge Structure

- A glossary of technical terms exists for staff to refer to for increasing their understanding of KM concepts.
- There is a process for getting new terms defined as part of the project management or organization structure.

Multiple Strategies for Knowledge Transfer

- Multiple strategies should reinforce each other.
- Contributors to knowledge repositories get together face-to-face on a regular basis. This builds trust and is useful in developing structures and resolving issues.

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http://www.brint.com/km/ (This site is a gateway to working knowledge on business and technology issues related to knowledge management ,indexed in topically categorized and continuously updated web portals. It provides access to continuously updated relevant content and community resources on all key issues related to knowledge management practice and research.) (Accessed 11/21/02.)

NOTES

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3. Davenport, p. 4.

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8. United States Department of the Navy Chief Information Officer. *Metrics Guide for Knowledge management Initiatives*. United States Department of the Navy, August 2001. < http://www.don-mit.navy.mil/tools_and_downloads.asp?type=project&recID=17 >(PDF for downloading) p. 8. (This document may not be accessible to the visually impaired.)

THE STRATEGIES

The following strategies are works in progress and will be updated as more is learned. Other strategies will be added.

APPRENTICESHIPS, INTERNSHIPS, AND TRAINEESHIPS

Definition

Apprenticeships, internships, and traineeships are formal arrangements where a person gains practical experience or knowledge by working for a prescribed period of time under the supervision of more experienced workers.

Apprentices, interns, or trainees typically have basic skill sets or competencies, such as analytical skills, but lack the specialized competencies necessary for the job. In some situations, specialized education may be required. For example, to be eligible for a New York State traineeship in the accounting profession, a person must have a certain number of college credits in accounting.

New York State fills many entry-level positions through traineeships, which fall into two broad categories. Transition traineeships are designed to help clerical and secretarial employees already in State service to move into professional or paraprofessional positions. There are also entry-level professional traineeships open to State employees and the general public for candidates who meet the traineeship qualifications and are reachable on the eligible list. New York State provides both paid and unpaid internships for students.

Benefits

Apprenticeships, traineeships, and internships provide a structured means for passing on specific knowledge and skills required for success in a particular job or profession. Because they take place at an actual job site, they provide ready access to people who are experienced in the job and to hands-on learning opportunities. Since they are typically one to three years in length, over time, participants learn to take on assignments of increasing complexity and difficulty. The structure provides the necessary support and resources to successfully perform at the journey level.

Obstacles

New York State agencies must request and obtain approval from the Department of Civil Service and the Division of the Budget to create apprenticeships, traineeships, and internships. Agencies must commit the resources needed for incumbents to succeed, including the staff time to assist in learning necessary skills. Supervisors must not only have mastered the job, but must also know how best to help the apprentice, trainee, or intern to gain required knowledge and skills.

When to Use

Apprenticeships, traineeships, and internships are valuable when it takes a long period of time to learn the specific skills needed for a particular job. They are typically used at an entry level into a profession.

How to Use

New York State agencies must obtain approval from the Department of Civil Service and the Division of the Budget. In the request, they must identify the critical job competencies to be mastered in each six-month period and identify what methodologies (on-the-job training, formal training, etc.) will be used to develop them.

For these arrangements to be successful, the organization must commit to providing the necessary resources, including the staff time of experienced workers. Also, there must be ongoing feedback to the learners on their progress in mastering required skills.

Resources

http://www.cs.state.ny.us/cseap/CareerMobility.html - Information on career mobility in New York State
http://www.cs.state.ny.us/tsplan/titlesalaryplan.cfm
http://jobweb.goer.state.ny.us/ - Information on job vacancies in NYS government.
http://jobweb.goer.state.ny.us/internlistings.asp -Listing of internship opportunities. Note that agencies may offer opportunities without listing them on this site.
http://www.goer.state.ny.us/workforce/workgroups/competencies/competencies.html - Report of the Competencies Workgroup

BEST PRACTICES

Definition

"Best practices" are ways of doing business, processes, methods, strategies, etc. that yield superior results. They have been implemented and honed over time to a point where they are viewed as exemplary and should or could be adopted by others. A formal "benchmarking" process is often used to identify best practices. A full description of this technique is beyond the scope of this document, however, there are many books and other resources on the subject.

Benefits

Identifying and sharing best practices is an important way to incorporate the knowledge of some into the work of many. Organizational structures tend to promote "silo" thinking where particular locations, divisions, or functions focus on maximizing their own accomplishments and rewards, keeping information to themselves and thereby sub-optimizing the whole organization. The mechanisms are lacking for sharing of information and learning. Identifying and sharing best practices helps build relationships and common perspectives among people who don't work side by side.

Best practices can also spark innovative ideas and generate suggestions for improving processes, even if a practice can't be used in its entirety. The process of identifying them can also benefit employee morale. By highlighting or showcasing people's work, employees get organization-wide recognition for their work.

Obstacles

Sometimes employees are reluctant to share their methods with others. Information can be seen as a source of power and some people hoard it. A more likely reason for not sharing is reluctance to say that something is the "best way." The "not-invented-here" syndrome could negatively affect the adoption of a method created by a different workgroup. Documenting and storing descriptions of best practices can be a challenge. If storage is to be in written form, a database or other shared file system, the practice needs to be described in enough detail for all to understand. Often, written descriptions are the starting point for transfer, with employees using site visits and other forms of communication to learn. Keeping best practice information current is important. Since organizations are constantly finding ways to improve processes and products, a "best practice" could become obsolete.

When to Use

The technique of identifying and sharing best practices can be done at any time. It can be especially important when looking for ways to improve results of important or significant processes. In today's environment of tight budgets and rapid change, identifying ways to improve effectiveness and efficiency are crucial.

How to Use

There are many approaches to identifying and sharing best practices, ranging from a formal organization-wide initiative with staff assigned to researching, documenting, and creating a database to more informal ways such as talking at the water cooler (sometimes the most effective approach!).

One "in between" approach involves management identifying the results they want to improve, determining the parameters of a process that should be studied, and then chartering a team to conduct the study. A sample of people involved in the process should:

- Thoroughly review and document the current process.
- Identify organization(s) that have exemplary practices or processes that produce high results.
- Explore the "best practices."
- Generate possible ways to improve their process.
- Recommend or select changes to be implemented.
- Arrange for implementation of the changes.
- Evaluate the results of the changes.

Another approach some organizations use is to encourage employees to learn from others within the organization through annual or periodic best practices or benchmarking conferences. The Office of Vocational and Educational Services to Individuals With Disabilities (VESID), part of the State Education Department, brings together staff from throughout the State to learn from each other. They showcase and share best practices through both formal and informal presentations or workshops. They focus on processes they have developed or refined that achieve desired results. They sometimes also invite experts from other states to share their best practices.

Another technique VESID uses is posting best practices on its intranet. Content areas include leadership, management and internal controls, including risk assessments and corrective actions for each of its offices. VESID also uses a team to provide support to district offices where a quality assurance review has identified problem areas. The team helps develop an action plan to address issues and shares tools and resources others have found effective.

Some organizations recognize teams that have been particularly successful in accomplishing their objectives. Their process and results are often showcased at internal conferences, or through knowledge fairs (See Knowledge Fairs, pg.). GOER's Workforce Champions Award program is an example of a statewide recognition effort for identifying and sharing best practices across agencies. (See WorkForce Champions at http://www.goer.state.ny.us/Train/wfc/2002/.)

COMMUNITIES OF PRACTICE

Definition

A Community of Practice (COP) is a group of individuals sharing a common working practice over a period of time, though not a part of a formally constituted work team. They generally cut across traditional organizational boundaries and enable individuals to acquire new knowledge faster. For example, at the Department of Public Service, a group of employees who are actively involved in multi-party, multi-issue settlement negotiations began a monthly discussion group at which they explored process issues, discussed lessons learned, and shared tools and techniques. COPs can be more or less structured depending on the needs of the membership.

Benefits

Communities of practice provide a mechanism for sharing knowledge throughout one organization or across several organizations. They lead to an improved network of organizational contacts, supply opportunities for peer-group recognition, and support continuous learning, all of which reinforce knowledge transfer and contribute to better results. They are valuable for sharing tacit (implicit) knowledge.

Obstacles

To be successful, COPs require support from the organization(s). However, if management closely controls their agendas and methods of operation, they are seldom successful. This is more of an issue for communities of practice within organizations.

When to Use

Communities of practice can be used virtually anywhere within an organization: within one organizational unit or across organizational boundaries, with a small or large group of people, in one geographical location or multiple locations, etc. They can also be used to bring together people from multiple agencies, organized around a profession, shared roles, or common issues.

They create value when there is tacit information that, if shared, leads to better results for individuals and the organization. They are also valuable in situations where knowledge is being constantly gained and where sharing this knowledge is beneficial to the accomplishment of the organization’s goals.

How to Use

There are different kinds of COP. Some develop best practices, some create guidelines, and others meet to share common concerns, problems, and solutions. They can connect in different ways: face-to-face, in small or large meetings, or electronically.

An organization or group of practitioners needs to decide which kind of community is best for it by determining what knowledge people need to share, how closely connected the community is, and how closely knowledge needs to be linked with people's everyday jobs. The supporting organization(s) needs to be willing to make resources available to the community. These resources include supporting employees' ability to participate at COP events as well as providing logistical and other support. Public and private entities that have created communities of practice say they work best when they set their own agenda and focus on developing members' capabilities. Management should not dictate. Smaller, more informal COPs will likely have fewer constrictions and less need for support.

Following are guidelines to consider in forming a COP:

A. Determine the community's purpose.

Link the community's purpose to the profession or organization's goals and objectives. Communities can be formed as:

1. Helping communities that provide a forum for members to help each other solve everyday work problems.
2. Best practice communities to develop and disseminate best practices, guidelines, and procedures for member use.
3. Knowledge stewarding communities to organize, manage, and steward a body of knowledge from which community members can draw.
4. Innovation communities for creating breakthrough ideas, knowledge, and practices.

B. Clarify roles and responsibilities.

Roles can include the following, especially for larger, more formal COPs:

1. Functional Sponsors: sponsors need to believe in the value of knowledge sharing. They encourage community growth and commitment of agency resources, act as champion for the community within the organization, and work with community leaders to resolve issues.
2. Core Group: a subset of the community, consisting of knowledgeable and experienced community members (subject matter experts) to assist with start-up of the group and to provide ongoing organizational support.
3. Community Leaders: active members of the community who help to focus the community, plan and schedule meetings and events, represent the community within the organization, manage day-to-day activities, etc.
4. Members: membership should be voluntary. Members will continue to be actively engaged to the extent the community meets their needs, but the expectation must be set that members participate in community discussions, activities, and work.

5. Facilitator to guide the community's process: facilitators provide process expertise, assist with the use of process tools, and help to create and maintain a collaborative environment.
6. Logistics Coordinator: coordinates calendars, schedules meetings and events, coordinates facilities, and arranges for equipment.

Other roles to consider include functional support staff and a project historian. Functional support staff help to arrange for databases to store and share community knowledge and establish mechanisms for on-line sharing of information through such tools as chat rooms or discussion lists. The project historian documents project decisions and events for reuse by the agency.

C. Identify community members.

Membership is voluntary but it is recommended that individuals who could learn from each other and have a stake in the community's success be identified and cultivated. Employees, who are seen as experts or as trusted information sources, add value to the community and efforts should be made to recruit them.

D. Devise mechanisms for communication and collaboration.

There can be a combination of face-to-face meetings and events, instant messaging or chat rooms, shared databases, videoconferencing, etc.

E. Hold an initial community workshop to engage member interest and stimulate continued involvement.

At this meeting, the community's purpose should be clarified as follows:
- Work should begin on building member relationships.
- Ground rules should be decided and roles explained.
- Methods for creating, capturing, and sharing knowledge should be discussed.
- Consensus should be reached on the highest priority knowledge needs.

F. Check community progress to identify and resolve any barriers that impede the community's success.

This is often a function of the community leader and core group.

Resources

NAVSEA Community of Practice Practitioner's Guide, U.S. Department of the Navy, Version 1.0a, May 2001. *NAVSEA Community of Practice Practitioner's Guide*, U.S. Department of the Navy, Version 1.0a, May 2001. <http://www.km.gov/documents/DoN_CoP_Practitioner's_Guide_ver_1.doc> (Accessed 11/21/02)

Wenger, Etienne C, and William M. Snyder, "Communities of Practice: The Organizational Frontier," *Harvard Business Review*, January-February 2000, p. 139-145.

EXPERT INTERVIEWS

Definition

Expert interviews are sessions where one or more people who are considered experts in a particular subject, program, process, policy, etc., meet with others to share their knowledge. The format of the sessions can range from an informal one-on-one meeting to a larger group session with a panel of experts. Sessions can be audio or videotaped or even transcribed if the subject is highly technical. The experts can come from within an organization or from the outside.

Benefits

Expert interviews are a way of making tacit knowledge more explicit. A person can describe not only what was done but why, providing context and explaining the judgment behind the action. Interviews are often easier for the experts than having them write down all the details and nuances. Learners can ask questions and probe more deeply to ensure understanding.

Obstacles

Making time for these sessions is probably the biggest challenge for both the experts and the learners. If the session is more formal with a large group of learners, some may be intimidated and need coaching.

When to Use

Expert interviews can be used in many situations. The best place to begin is with people who have unique knowledge developed over a long period and who have the potential for leaving the organization soon. The next step might be to identify mission critical processes or programs where only one or two staff have a high level of technical knowledge.

How to Use

This process is probably most effective when someone facilitates the experience, setting the stage with participants, facilitating the exchange of any information prior to the interview, and handling scheduling or other logistics.

Identify the people and knowledge you want to start with, both the experts and the learners. Discuss with the experts the reasons for the interviews, who will be involved, and what you would like to focus on. If the learner needs to prepare for the session, the expert can identify how to do this and what resource materials would be helpful. It is also essential to ask the learners what they think they would like to know from the experts. If they have specific questions, provide these to the expert in advance so he or she can be prepared.

If the session is more formal, with larger numbers of experts and learners, a facilitator can help keep the session focused and on time. If the interview is a one-on-one meeting, a facilitator is probably not needed.

If audio or videotaping, arrangements should be made in advance and equipment tested to ensure both experts and learners can be heard on tape.

JOB AIDS

Definition

A job aid can take many forms, but basically it is a document that has information or instruction on how to perform a task. It guides the user to do the task correctly and is used while performing the task, when the person needs to know the procedure.

A job aid can be as simple as a sticker on an answering machine that describes how to access messages. Types of job aids include:

- Step-by-step narratives or worksheets sequencing a process.
- Checklists, which might show items to be considered when planning or evaluating.
- Flow charts, leading the user through a process and assisting the user to make decisions and complete tasks based on a set of conditions.
- Reference resources, such as a parts catalog or telephone listing.

Benefits

Job aids are usually inexpensive to create and easy to revise. Using job aids can eliminate the need for employees to memorize tedious or complex processes and procedures. When a job aid is easy to access, it can help increase productivity and reduce error rates.

Obstacles

Job aids need to be written clearly and concisely, with nothing left to interpretation. They also need to be updated and kept current. Finding the time to create job aids can be a challenge; however, creation of good job aids produces benefits over the long term.

How to Use

Consult with knowledgeable users to identify what job aids to develop. Create job aids that include only the steps or information required by the user. Keep the information and language simple, using short words and sentences. Don't include background information or other information extraneous to actual performance of the task; put that in another location. Use graphics or drawings, when appropriate, to more clearly demonstrate detail.

Use bold or italicized text to highlight important points. Use colors to code different procedures or parts of a process. Make sure the job aid can be easily accessed and is sturdy. A laminated wall chart hung near where a task is performed can be consulted more quickly than a piece of paper stored in a file.

When to Use

Job aids are most appropriate for tasks that an employee does not perform frequently, or for complex tasks. Tasks with many steps that are difficult to remember, or tasks that, if not performed correctly cause high costs, can benefit from having readily accessible job aids. Also, if a task changes frequently, a job aid would save time and reduce the chance for errors.

Job aids can be a good supplement to classroom training. Users can learn tasks in a classroom but will likely need something to rely on when on the job.

Resource

Russell, Susan, "Create Effective Job Aids," *American Society for Training & Development Info-Line,* Issue 9711, November 1997.

KNOWLEDGE FAIRS

Definition

A knowledge fair is an event designed to showcase information about an organization or a topic. It can be organized in many ways using speakers, demonstrations, or more commonly, booths displaying information of interest to the attendees. One example is the Xerox Corporation's annual "Team Day" that showcases the work of various quality-improvement teams. Two New York State examples are described below.

Benefits

A large amount of information can be made available and attendees can focus specifically on what they are interested in learning. Attendees can interact directly with the presenters, getting immediate answers to their specific questions. They also can establish contacts for further exploration of topics if needed.

Attendees often network with one another and booth developers' often strengthen their teamwork. Knowledge fairs also provide opportunities to draw attention to best practices and recognize employee and team achievements.

Obstacles

Depending on the scope and size of the event, it can require a large amount of staff time for creating booths, putting information together to display, and for organization and logistics. The costs for space, materials, and resources can be high. The potential exists for participants to become overwhelmed with information.

When to Use

Consider a knowledge fair when there is a lot of information to share with a lot of people and participants need a broader perspective, as well as an opportunity to interact on a one-on-one basis on specific topics. A knowledge fair is an alternative to traditional presentations when more interactive experiences are desirable.

New York State Examples

"TaXpo"

In 1999, the Tax Department used a large basement room in one of their buildings on the State Office Building Campus to hold a Knowledge Fair with more than 75 booths showcasing the work of organizational units across the entire department. Unit or office employees created and staffed their own booths. All employees were invited to attend, including employees from district offices away from Albany, where the event was held. Staff visiting the fair had the opportunity to ask questions and develop their understanding of what the various organizational units did and how they fit into the larger picture of accomplishing the mission of the department. See Appendix B, page 52, for Commissioner Roth's memo to all Tax employees and Appendix C, page 53, for a list of the 75 booths and sample descriptions of four booths.

Organization Development Learning Network "Share Fair"

The Organization Development Learning Network (ODLN) is a community of practice supported by the Governor's Office of Employee Relations. It is "an organization development (OD) peer learning group that shares experience and generates knowledge to improve New York State agency performance." (For more information on ODLN, go to http://www.goer.state.ny.us/Train/organizational/odln.html.)

The group was formed in 2000 and held its first meeting in October of that year. In order to familiarize those attending with what OD is and the kinds of things that OD can do for an organization, a "share fair" was held. Smaller in scope and simpler than TaXpo, this event used tables in a large meeting room to display various materials relating to OD initiatives. Staff from the various agencies answered questions and explained what they did and how it contributed to accomplishing their agency's mission and improving organizational performance. See Appendix D, page 56, for the Share Fair descriptive brochure.

LEARNING GAMES

Definition

A game is a type of structured learning activity used to make learning fun. It can provide a review of material that has been presented to strengthen the learning or evaluate how much learning has occurred. Games can also be used to:

- Help people prepare for learning by testing current levels of knowledge.
- Apply a newly learned skill.
- Learn as they play the game.
- Practice what has been presented to reinforce the learning.

Benefits

Games improve knowledge transfer by:

- Increasing participation among all involved.
- Improving the learning process by creating an environment where people's creativity and intelligence are engaged.
- De-stressing learning by making it fun.
- Addressing the different ways in which different people best learn – through movement, hearing, and seeing.
- Adding variety to a training program, which helps to keep people actively involved.

Obstacles

- When games are used as an end in themselves and not a means towards an end, they waste time and can hamper learning.
- Using too many games can destroy learning effectiveness.

When to Use

Games are usually used in conjunction with other learning methodologies, such as presentations and discussions. When you use them, or if you use them at all, depends on the learning you are trying to convey and whether games will help you meet your learning objectives.

Games used at the beginning of a program can measure existing knowledge and build immediate interest in the training material.

Games used during a program can help people discover the learning themselves (which strengthens recall and commitment), practice using new knowledge or skills, or reinforce initial learning.

Games used near the end of a program can test knowledge gained and people's ability to apply it in their work settings.

How to Use

For games to be effective, they must:

1. Be related to the workplace by providing knowledge, reinforcing attitudes, and initiating action that is important to job success.
2. Teach people how to think, access information, react, understand, and create value for themselves and their organizations.
3. Be enjoyable and engaging without being overly simplistic or silly.
4. Allow for collaboration between learners.
5. Be challenging but not unattainable.
6. Permit time for reflection, feedback, dialog, and integration. In other words, games should be debriefed.

Examples of games:

- Quizzes
- Scavenger hunts
- Quiz show games, including those modeled on television game shows such as *Jeopardy* or *Family Feud*
- Board games, such as GOER's *Supervision Central*
- "Name that" games
- Sports-related games
- 20 questions

Resource

Meier, Dave, *The Accelerated Learning Handbook: A Creative Guide to Designing and Delivering Faster, More Effective Training Programs*, McGraw-Hill, New York, 2000.

LESSONS LEARNED DEBRIEFINGS

Definition

Session(s) conducted at the completion of a project or activity, or at strategic points during a project or work team's ongoing work, where members of the team or group evaluate the process used and the results. They identify what was done right and what could be done better the next time.

Benefits

These sessions identify and capture the things that went well and the things that could be improved so that team or work group members are aware of and can use the broader team/group's learning in their future projects or work activities. Results can also be shared with future teams or other work groups so they can learn from the experiences of others.

Obstacles

Making the time to conduct lessons learned debriefing sessions and documenting the results are the biggest challenges.

When to Use

The sessions should be done as soon as possible after the completion of the project or activities, but no more than 30 days later. They could also be done at any strategic point during a project.

How to Use

Lessons learned sessions work best when they are done as a formal review session in a functional meeting room, using facilitator(s), and an assigned note taker.

- Develop ground rules for the session, e.g. listen for understanding, respect others' contributions, no blaming, full participation, etc.
- Include appropriate people such as:
    - Project sponsor.
    - Project or work unit manager.
    - Project team or work unit staff.
    - Customers.
    - Stakeholder representatives, including the manager with responsibility for the project oversight.
    - Other appropriate executive management.
    - Others, depending on the nature of the project or work, e.g., maintenance, information systems, technical services, and operations staff.
- Make sure lists of lessons learned are process-oriented and are directed toward improving the work process, not individual performance.
- Make sure feedback is constructive.
- Describe specific behavior and its effect.

- Be non-judgmental.
- Identify actions and behaviors that would be more effective.
- Recognize positive contributions.

Debriefing Process Alternative A

Have groups of 6-10 people answer the following questions and consolidate responses for all the groups. You may want to consider the commonality or strength of agreement on the responses. Select questions from the following or develop your own questions. Open-ended questions usually elicit the best responses.

- What worked best on the project or activity?
- What could have been better on the project or activity?
- How can we improve the methodology to better assist in the successful completion of future projects or work activities?
- What parts of the project or work resulted in meeting the specified requirements and goals? What helped assure these results?
- What parts did not meet specifications and goals? What could have been done to ensure that these were met?
- How satisfied was the customer(s) with results? What was particularly good? What could have been done to improve customer satisfaction?
- Were cost budgets met? Why or why not? What helped or hindered staying within budget?
- What contributed to the schedule being met? What hindered it?
- What appropriate risks were identified and mitigated? What additional risks should have been identified and/or what additional actions should have been taken to mitigate risks?
- What communications were appropriate and helpful? What additional communications would have been helpful?
- How did the project or activity management methodology work? What worked particularly well? What could have been done to improve it?
- What procedures were particularly helpful in producing deliverables? What could have been improved? How could processes could be improved or streamlined?

Debriefing Process Alternative B

- Develop, post, and use a list of 8-10 items or objectives considered most important for success. The team leader or work unit leader and facilitator could develop this list ahead of time or with participants at the beginning of the session. Possible items to help keep the discussions focused include:
    - Customer expectations are met
    - All specifications are achieved
    - Completed on time
    - Completed within budget
    - Return on investment achieved
    - Organizational goals are met
    - Positive experience for project or workgroup members

- Identify how well these items were accomplished (fell short, met, exceeded expectations)
- Identify actions that contributed to or hindered the accomplishment of each of these objectives. See below for a possible meeting notes template. [Link to possible template for Alternative B.]

Debriefing Process Alternative C

- Identify 8-10 major strategies, activities, or processes that helped the project or work unit and 8-10 major problems encountered during the project or activity and what could be done to address or prevent the problems in the future.
- *Responsibilities:*
    - Project or work unit manager:
        - Make all arrangements.
        - Ensure right people are present.
        - Make sure necessary materials and documentation are available.
        - Communicate results to the right people throughout the organization.
    - Facilitator:
        - Typical facilitation responsibilities.

Role of surveys

Surveys can also be used instead of or to supplement a meeting.

- Consider getting professional assistance in developing and administering a survey to a large group or to people outside the organization .
- The survey could be written questionnaires which could be mailed or administered during a meeting.
- Consider how it should be administered and to whom (sponsor, team or workgroup, customer representatives, consumers and/or other stakeholders).
- Goals:
    - Review product delivered against baseline requirements and specifications.
    - Determine how well the needs of the customer have been met.
    - Determine whether the product or service was delivered effectively and efficiently.
    - Determine what could be improved.

LESSONS LEARNED

Project Name or Work Unit: **Date:**
Division/Bureau/Unit: **Sponsor Name:**
Project or Work Unit Manager: **Facilitator:**
Project Team or Work Unit Members:

Objective: Customer expectations are met	**How well we did**		
	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			
Objective: All specifications are achieved	**How well we did**		
	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			
Objective: Completed on time	**How well we did**		
	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			
Objective: Completed within budget	**How well we did**		
	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			
Objective:	**How well we did**		

Return on investment achieved	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			
Objective: Organizational goals met	**How well we did**		
	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			
Objective: Positive experience for project team or work unit	**How well we did**		
	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			
Objective:	**How well we did**		
	☐ **Fell Short of Expectations**	☐ **Met Expectations**	☐ **Exceeded Expectations**
Explanation (What helped/what hindered?):			

Use additional sheets for more objectives/areas.

ON-THE-JOB TRAINING (OJT)

Definition

On-the-job training is any kind of instruction that takes place at the actual job site and involves learning tasks, skills, or procedures in a hands-on manner. It can be informal, such as when a person asks a co-worker to show how to perform a task, or part of a more formal structured OJT system. If part of a structured system, there are usually prescribed procedures for training that specify the tasks and skills to be learned and that sequence the activities to build on knowledge already acquired. There are also administrative processes requiring both trainer (sometimes called a coach) and trainee to certify that a particular task or skill has been mastered. Structured OJT is usually more effective than informal; however, informal can also be valuable.

Benefits

On-the-job training can be very effective because someone skilled in performing the tasks does the training (the coach). With training done on the actual job site, it may not reduce productivity as much as taking a person off site to a classroom setting.

The cost is usually the coach's and employee's time. If a more structured approach is being taken, there are costs associated with training coaches and developing checklists and other materials. However, those costs can be amortized over time and over the number of trainees who use them.

Obstacles

Sometimes informal OJT can be a problem if the training objectives are not clearly stated and understood. If the training is presented in an off-the-cuff manner, it might not be taken seriously enough. Also if the person doing the training is not adequately prepared, the training could be confusing and the time wasted.

When to Use

Consider the following when deciding whether to use structured OJT:

- When equipment and/or materials needed to perform the job are not replicable in a classroom environment.
- When instruction needs to take place in small chunks so that taking the person away from the job site is not an efficient use of time.
- When the number of people needing instruction is too small to efficiently organize a classroom session.
- When showing someone how to do something using real work is the most effective way of teaching.

How to Use

One-on-one training should not be presented in a vacuum, but as part of an overall training program that might include some classroom instruction, job aids (e.g., check lists - see Job Aids, page 32), manuals, and demonstrations.

A. Preparation

- Analyze the job to figure out the best way to teach.
- Make a list of the tasks and associated knowledge and skills.
- Break the job tasks into steps and note the key factors that relate to each step.

B. Present the process

- Put the employee at ease.
- Find out what the employee already knows about the job.
- Tell the employee the importance of the job or task and how it fits into the larger picture of what the employee does.
- Show the employee how to perform the task and describe what you are doing.
- Stress the key points and use appropriate job aids.
- Completely instruct one point at a time, at a rate slow enough for the employee to understand.

C. Test the performance

- Have the employee perform the job while you observe.
- Have the employee show you how he or she does each step of the job and describe what is being done.
- Ask questions and offer advice.
- Continue until you are satisfied that the employee knows the job or task(s).

D. Follow up

- Tell the employee who to go to for help.
- Check on the employee as often as you feel necessary.
- Encourage questions.
- Have employee perform independently with normal supervision.

Resources

Broadwell, Martin M., *Supervisor and On-the-Job Training,* 3rd Ed., Addison-Wesley, Reading, MA 1986.

Levine, Charles I., "On-the-Job Training," *American Society of Training and Development Info-line,* Issue #9708, August 1997.

STORYTELLING

Definition

Storytelling uses anecdotal examples to illustrate a point and effectively transfer knowledge. There are two types:

- Organizational stories (business anecdotes) are narratives of management or employee actions, employee interactions, or other intra-organizational events that are communicated within the organization, either formally or informally.
- Future scenarios create a future vision for the enterprise that describes how life will be different once a particular initiative, change, etc. is fully implemented. They provide a qualitative way of describing the value of the initiative even before it starts.

Benefits

- Stories capture context, which gives them meaning and makes them powerful.
- We are used to stories. They are natural, easy, entertaining, and energizing.
- Stories help us make sense of things. They can help us understand complexity and assist us in seeing our organizations and ourselves in a different light.
- Stories are easy to remember. People will remember a story more easily than a recitation of facts.
- Stories are non-adversarial and non-hierarchical.
- Stories engage our feelings and our minds and are, therefore, more powerful than using logic alone. They complement abstract analysis.
- Stories help listeners see similarities with their own backgrounds, contexts, fields of experience, etc., and, therefore, help them to see the relevancy of their own situations.
- Stories can be a powerful transformational tool. Stories of transformation were coined “springboard stories” by Stephen Denning.

Obstacles

Stories are only as good as the underlying idea being conveyed. Since stories are usually orally presented, the person telling the story must have good presentation skills.

When to Use

Stories are seldom used alone, but rather they are combined with other approaches such as quantitative analysis, best practices, knowledge audits, etc. They impart meaning and context to ideas, facts, and other kinds of knowledge derived from other knowledge management tools.

Stories can be used to support decision making, aid communications, engage buy-in, or market an idea or approach. If being used to illustrate the value of a way of thinking, or explaining an idea, they are best used at the outset, to engage the listener and generate buy-in.

How to Use

In using storytelling, the message, plot, and characters must be considered. Determine what underlying message is to be conveyed (examples: importance of organizational goals, impact on an individual of a change effort, end-benefits associated with a change effort, how a process works, and so on). How does the story illustrate the underlying message (plot)? Who was involved in the story (characters)?

Think about the audience for the story. To whom is the story aimed? What will each audience listening to the story do with the story's message? What message will be told to each audience? How do we tell each desired story?

Four different structures for using stories have been developed (from *The Springboard*, by Stephen Denning):

- Open with the springboard story, and then draw out its implications.
- Tell a succession of stories. The telling of multiple stories can help enhance the chances that the audience will co-create the follow-up. Two examples: You want to describe the benefits of a proposed change effort. Tell a story that only partly serves your purpose, and then extrapolate with an anecdote (e.g., a future scenario) that describes how the story will play out when the change effort is fully in place. Or, tell a series of related stories that, taken together, illustrate various ways in which the change effort is leading to payoffs for colleagues.
- Accentuate the problem. Start with describing the nature of a problem, tell the story, and draw out the implications.
- Simply tell the story. This is useful when time is very limited and you want to plant a seed.

The story should:

- Be relatively brief and have only enough detail for the audience to understand it. Too much detail and the listener gets caught up in the explicit story and not its message.
- Be intelligible to a specific audience so it hooks them. It must be relevant to them.
- Be inherently interesting, maybe because the problem presented is difficult, the "old" way of resolving the problem won't work, there is tension between characters in the story, there are unexpected events, or an element of strangeness exists.
- Embody the idea you are trying to convey and provide an easy mental leap from the "facts" of the story to its underlying message.
- Have a positive ending, to avoid people being caught up in a negative, skeptical frame of mind.

- Have an implicit change message, especially if the audience is skeptical or resistant, since the audience can then discover the change message on their own and, therefore, make it their own idea.
- Feature a protagonist with which the audience can identify.
- Deal with a specific individual or organization.
- Have a protagonist who is typical of the organization and its main business.

True stories are generally more powerful than invented stories, and can serve as jumping off points for future scenario stories. Stories should be tested on individuals or small groups before being tried on large groups or in high-risk settings.

The stories must be simple, brief, and concise. They should represent the perspective of one or two people in a situation typical of the organization's business, so that the explicit story is familiar to the audience. Similarly, the story should be plausible; it must ring true for the listener. It needs to be alive and exciting, not vague and abstract. By containing a strange or incongruous aspect, the listener can be helped to visualize a new way of thinking or behaving. Stories, therefore, should be used to help listeners extrapolate from the narrative to their own situations.

Finally, storytellers must believe in the story (own it) and tell it with conviction. Otherwise, the audience will not accept it.

Resources

Denning, Stephen, The *Springboard: How Storytelling Ignites Action in Knowledge-Era Organizations,* Butterworth-Heinemann, Woburn, MA, 2001.

Metrics Guide for Knowledge Management Initiatives, United States Department of the Navy Chief Information Officer, August 2001. <http://www.don-imit.navy.mil/tools_and_downloads.asp?type=project&recID=17>(PDF for downloading) (Note: This document may not be accessible to the visually impaired.) (Accessed 11/21/02)

Poage, James L., "Designing Performance Measures to Tell a Story: Applying Knowledge Management Principles," presented to the Federal CIO Council, Knowledge Management Working Group, November 1, 2000. <http://www.km.gov/documents/measures/measures.ppt> (Accessed 11/21/02)

APPENDIX A: BUILDING KNOWLEDGE MANAGEMENT MEASURES USING THE NAVY'S APPROACH

The Navy defines three different kinds of KM metrics (Metrics Guide, pg. 5).

Outcome metrics concern the impact of the KM project or initiative on the overall organization. They measure large-scale characteristics such as increased productivity.

Output metrics measure characteristics at the project or task level, such as the effectiveness of lessons learned information to future operations.

System metrics monitor the usefulness and responsiveness of supporting technology tools.

Measures should be actionable, providing a basis for making decisions, changing behavior, or taking action. Organizations should take care to develop a manageable and useful number of measures and assess the value of these measures to stakeholders. You do not have to measure everything – at some point it becomes overkill to do so.

The Navy developed a series of questions to guide its staff in defining, choosing and using performance metrics for KM initiatives (Metrics Guide, pg. 5):

1. What is the business objective? (Done prior to starting metrics)
2. What KM methods and tools will we use? (Done prior to starting metrics)
3. Who are the stakeholders and what do they need to know?
4. Which framework is best?
5. What should we measure?
6. How should we collect and analyze the measures?
7. What do the measures tell us and how should we change?

The first two questions have to do with project design. They are crucial to designing an effective approach to measuring success. Since the purpose of KM initiatives is to help an organization achieve its goals, a KM project must have a specific business objective. Metrics naturally flow from this objective.

Your choice of KM methods and tools is based on their perceived efficacy in meeting the business objectives of the project. Different KM methods and tools will be appropriate to different kinds of objectives. If, for example, your goal is to develop an experts' database to supply technical assistance to an operational program, it is unlikely you would establish an apprenticeship to do so. A particular type of KM tool will lend itself to particular kinds of performance measures. The effectiveness of a computerized experts' database (an outcome metric) might be measured by the number of "hits" it receives, or by anecdotal information on the usefulness of the database to a random selection of users.

The remaining five questions help to refine the process for choosing performance metrics.

Who are the stakeholders and what do they need to know?
(Metrics Guide, p.13)

It is important to identify who will use the performance measurement information. In conjunction with defining the business objective and KM methods up front, start developing a preliminary list of primary stakeholders. Brainstorm a list of all possible audiences for the measure. Then reduce the list to the critical audience. Avoid including so many people that it becomes too difficult to address all of their concerns and needs.

After preparing the final stakeholder list, determine their most important questions and the decisions they will make. This allows you to identify what information they need from the measures.

Which framework is best? (Metrics Guide, p. 14)

One of the key findings of the National Performance Review study of Best Practices in Performance Measurements is that metrics must be aligned with project objectives and organizational goals. A clear and cohesive conceptual framework helps to show the relationship among objectives, KM tools used, and measures. There are many ways to construct a framework. Descriptions of two frameworks follow. For information on other frameworks, consult one of the reference sources below.

- Flow diagrams can trace KM activities to impacts and related measures and can indicate how KM initiatives produce benefits. In the example below, the KM action is to establish a virtual community of practice (CoP). This produces an impact on the workgroup's process through the exchange of knowledge. The CoP process can be measured by its effect on participants, but to determine if the CoP was successful in meeting the business objectives of the initiative, desired end results must be delineated and measures designed to monitor them.

  See figure 3 on page 15 of http://www.don-imit.navy.mil/contentDownload.asp?theID=10292001SCA5524205

- Balanced scorecards combine financial measures with organizational measures. A traditional balanced scorecard integrates four related perspectives: those of customers, the workgroup (internal perspective), learning and growth, and financial. All four are linked to business objectives.

  See figure 5 on page 18 of http://www.don-imit.navy.mil/contentDownload.asp?theID=10292001SCA5524205

What should be measured? (Metrics Guide, p. 19)

The most important characteristic to consider when choosing or defining a KM performance measure is whether the metric tells if knowledge is being shared and used, and if use of the information improved operational efficiency or quality.

The American Productivity and Quality Center, in its report on "Measurement for Knowledge Management," indicates that your choice of metric also depends on where you are in the lifecycle of the KM initiative. Each project goes through four phases: pre-planning, start-up, pilot project, and growth and expansion. In the **pre-planning phase**, you focus on process and risk analysis, strategy development, and projecting results. In the **start-up phase**, you want to generate interest and support for the KM initiative; so, you look for measures that indicate whether people are convinced the initiative is worthwhile (such as anecdotes, levels of participation, etc.). The **pilot project phase** concentrates on developing evidence of success and lessons learned that could be transferred to other initiatives. More definitive measures are needed, such as changes in business costs (reduced need for support and resources), cultural changes (increased sharing among groups), and the currency and usage of collected knowledge bases. Finally, in the **growth and expansion phase**, you need measures that reflect enterprise-wide benefits (best practices, performance evaluations, etc.).

A combination of quantitative and qualitative measures is helpful. Quantitative measures provide hard data to evaluate performance between points, or to spot trends. For example, you might measure the increase in the number of people accessing a particular knowledge database. Qualitative measures provide context and meaning for quantitative measures. Anecdotes about how knowledge gained from the database helped to solve a critical problem illustrate the impact of the database on the organization's work products.

How should we collect and analyze the measures? (Metrics Guide, p. 23)

As you identify the measures you will use, you will also need to develop a process for collecting the data. These can include automated data collection systems, manual counts, estimates or surveys, interviews, focus groups, agency/organization documents, observing meetings, etc.

Once data have been collected, they should be analyzed within the framework chosen to ensure that they are correlated with the objectives of the initiative and aligned with business goals. It should be noted whether the measures are direct or indirect indicators of effects to avoid having the team and stakeholders misconstrue the results or have unrealistic expectations of performance.

What do the measures tell us and how should we change?
(Metrics Guide, pg. 25)

Ask why you had a particular result and look for ways to improve the KM project. Go back to the original plans and assumptions to see if they need to be modified and then build consensus on what should be changed, how to change it, and when to introduce the changes. Finally, update the measures and framework to make sure they are tightly coupled to the new KM plans.

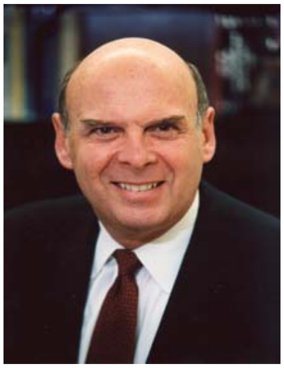
To give you an idea of the kinds of metrics you might employ, see pages 67-68 in the Metrics Guide. (Please note: These examples include KM strategies that are technological in nature, like web portals, which were outside the scope of this study.)

References:

Hartz, Cynthia, et. al., "Measurement for Knowledge Management," *American Productivity and Quality Center Organization*, February 2001, cited in *Metrics Guide for Knowledge Management Initiatives,* United States Department of the Navy Chief Information Officer, August 2001, p. 19.

Metrics Guide for Knowledge Management Initiatives, United States Department of the Navy Chief Information Officer, August 2001. <http://www.don-imit.navy.mil/tools_and_downloads.asp?type=project&recID=17>(PDF for downloading) (Note: This document may not be accessible to the visually impaired.) (Accessed 11/21/02)

Serving the American Public: Best Practices in Performance Measurements, National Performance Review, 1997, cited in *Metrics Guide for Knowledge Management Initiatives,* United States Department of the Navy Chief Information Officer, August 2001, p. 8.



To All Tax Employees:

Welcome to TaXpo! This event is an opportunity for us to celebrate our successes and learn more about each other. I invite each and everyone of you to see what we do; find out who we are; and to ask questions!!

TaXpo is the result of the efforts of many of your colleagues. I extend my sincere thanks to the TaXpo Design Team and Project Team for their work in creating this event. Thanks to those of you who created and staffed the more than seventy-five booths. Thanks to those of you who opened up your workplace for tours because your fellow employees asked to see what you do. Thanks to the artists and performers who set the scene and mood of TaXpo. And thanks to former Commissioner Urbach who had the vision to change the way we work.

TaXpo is for you. At the 1997 and 1998 Strategic Planning Conferences, you made it clear to us that you wanted:

- training to be more effective;
- tools to be more efficient; and,
- a better understanding of how the department works so that together you could do your jobs better.

I hope when you leave TaXpo today, you are as proud of what we can do as I am. I hope you share the knowledge you've gained with your co-workers who were unable to attend TaXpo. I hope at least one thing you saw here today will spark an idea which you and your team can implement back at your work site. I can only imagine what the future of Taxation and Finance will be when all of our ideas become reality.

Sincerely,

Arthur J. Roth
Commissioner

TaXpo

Association of State Tax Examiners (ASTE)

"The Association of State Tax Examiners, Inc.'s purpose is to protect and advance the interests and welfare of its members to maintain and promote professional standards of conduct, knowledge and proficiency and to aid in efforts to improve tax administration and procedure."

Kathleen Sheridan
Margaret Gardner
Michael Bond
Judy Clark
John Shiely
Geraldine Werking
Jacqueline Bender
Carol Ambuhl
Ross Izzo
Joyce Smolinsky
Katherine Caywood
Linda Goot
Alan Tamaroff
Christine Mondore
Sharon Drosky

Audit Division - Corporation Tax Bureau

"The Corporation Tax Bureau's booth shows the Department who we are, how our work gets done and what our products are. Our Booth's focus is on how other departmental areas can work with us in delivering better products and services."

Al Dashnaw
Bonnim Tanzman
Sean Dunleavy
Cherry Conover
Dawn D'Arcangelo
Jennifer LeBlanc
Jim Fortune
Terry O'Neil
Wendy Nelson
Brian Haas
Jean Karins
Karen McWilliams

Audit Division - Income Tax Bureau

"Did you ever see an income tax case on the system and wonder what the adjustments were? Come visit us at the Income Tax booth where Desk Audit and Field Audit Management will answer this and many more burning questions."

Richard Arnold
Jane Casillo
Margaret Blais
Lisa Porpa
Joanne Irish
Geri Bielecki
Neal Moore
Christine Kilmartin
Mary Walsh
George Mata
Marianna Denier
Angela Pettes
Brian Kirschenbaum
Mary Colatosti
Lisa Rullo
Charlene Donald
Mike Nead
Ken Stewart

Audit Division - Sales Tax Bureau

"Come visit the Sales Tax Audit Bureau booth. Our booth contains entertaining and informative exhibits, both inside and out, that provide TaXpo visitors with a better understanding of the many functions of the bureau. Our exhibit may even talk to you about what is taxable and what is non-taxable. You may participate in a team challenge or just peruse our booth to learn more about how we select audits, where sales tax audit revenues are distributed, and the special projects we undertake to collect use tax."

Joe Macchio
Robert Murray
Holly Jennings
Stephen Doud
Robert Pilatzke
Megan Lawrence
Diane Binck
Rosemarie Corigliano

Descriptions about the following booths were also included in the brochure:

Audit Division - TTTB
Binghamton District Office
Buffalo District Office
Bureau of Fiscal Services (BFS) Bureau of Internal Audit and Quality Control
Bureau of Conciliation and Mediation Services (BCMS)
Capital Region District Office

Chicago District Office
CISA Advisory Board
Commissioner
Communications/Legislative Affairs/Business Ambassador/Peak Hiring
Compliance and Audit
Systems Division (CASD)
CPA Advisory Committee
CSEA
Dragon Speaks Naturally
Employee Assistance Program (EAP)
Electronic Value Transfer (EVT)
General Services Available on Notes/Intranet
Information Systems Management (ISM)
Internal Affairs
Internet in DTF
IPA Interface
IRS/Disclosure
Management Services Bureau (MSB)
Manhattan District Office
Metropolitan District Office
Nassau District Office
New York City Finance
Office of Counsel (OOC)
Office of Tax Enforcement - (PATB)
Office of Tax Enforcement - Revenue Crimes Bureau (RCB)
Office of Tax Policy Analysis (OTPA)
One-Stop for Commercial Vehicles
Operations Support Bureau (OSB)
PEF
PIT Protest
Processing Division
Queens District Office
Rochester District Office
SMARRT Group
Suffolk District Office
Syracuse District Office
Tax Compliance Division -Call Center
Tax Compliance Division -Field Services
Tax Compliance Division -Special Collections
Tax Processing Managers Association
TaXpo Future

TaXpo on the Intranet
TaXpo Slide Presentation
Tours Sign-up
TQM Best Practice
TQM Communication
TQM General/Classes
TQM Rewards and Recognition
TQM Tools & Resources
TQM Training
Treasury
Utica District Office
Westchester District Office

For additional information, please contact Deb Dammer, Director of Human Resource Management, NYS Department of Taxation and Finance, phone 457-2786 or Deborah_Dammer@tax.state.ny.us

Thruway Authority/Canal Corporation

Total Quality ManagementYQuality of Work LifeYCustomer ServiceYRecognitionY EmpowermentYthey all go hand in hand. The Thruway Authority/Canal Corporation has embraced this philosophy over the past six years. They used a Strategic Business Planning process to develop their mission statement and values which reflected this philosophy. A Quality Office was organized to facilitate the acclimation of the organization to this philosophy and the techniques involved in implementing it.

Their booth will highlight their quality improvement projects, customer satisfaction surveys, performance measurements, mission statement and values posters, Employee Recognition Day Picnics, Employee Wall of Fame and Quality Program Video.

Governor=s Office of Employee Relations

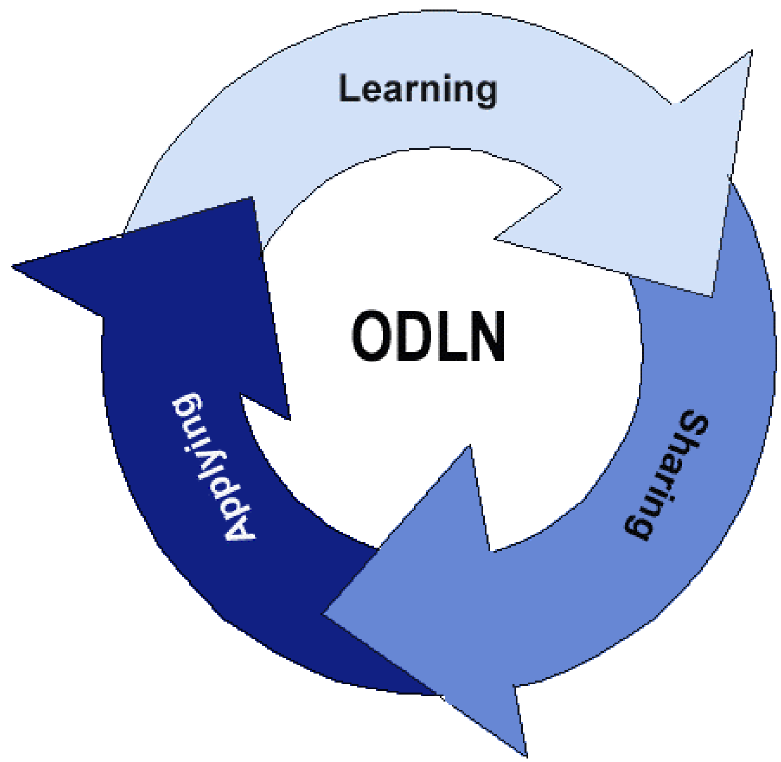
GOER provides consulting and training services to other state agencies through a combination of its own staff and external consultants. The GOER booth will feature information about the 58 firms on contract who are available to work with agencies on projects. The process of using one of these consultants is simpler than the standard Request for Proposal (RFP) process while still offering a wide variety of choices.

Their booth will also include information on activities which contribute to networking and information sharing across agencies, such as the ODLN and the interagency Recognition Network, which has been meeting quarterly to share information on the various employee recognition efforts going on in the agencies. There will also be information on the statewide GOER Work Force Champion Award program, GOER=s Facilitator Exchange and their Facilitator Development training programs.

Organization Development Learning Network

Share Fair 2000

Monday, October 23, 2000



Sponsored by the NYS Governor's Office of Employee Relations

Department of Transportation

Smarter & Faster - NYSDOT will share examples of how they plan their work and are empowered to work their plan through the Department=s strategic planning process. Program groups will share information about interesting technologies and innovative processes, with special emphasis on those that link with the Department=s strategic initiatives, values, priorities and key result areas: public involvement, public sector partnerships, economic development and continuous improvement. Accompanying program staff will also be in attendance to answer questions.

Presentations will include:

- How DOT is Thinking Beyond the Pavement: *Environmental Initiative*
- How DOT is Communicating with Customers & Stakeholders: *Context Sensitive Design*
- How DOT Partners with other Agencies to Promote Economic Growth: *High Speed Rail*

In addition, DOT will provide information on agency-wide programs such as Rewards and Recognition Programs and Teambuilding Training that are designed to support and enhance such initiatives.

Health Department

Organization Capacity is a strategic priority area in the Health Department's strategic plan. DOH will display its organization development program and its approach to building capacity. Leaders of the agency's organization development work will be available to speak with you about:

- Strategic Planning
- Performance Planning, Measurement, and reporting (computerized database demonstration)
- Communication
- Employee Satisfaction
- Customer Satisfaction
- Skills Development and Management
- Quality, Efficiency, and Effectiveness

Several presentations on these topics will be available for viewing. Handouts describing DOH=s programs and accomplishments, current activities, and planned activities will also be available.

Office of General Services

The OGS booth will include information about recent efforts to improve their agency=s overall effectiveness through strategic planning, performance measurement, customer service practices, and enhanced recognition for and development of employees. Examples of their strategic plan will be available along with information about how the plan was developed, deployed, and updated. All OGS business units now track and report on key performance measures on a regular basis. Information will be available about how this process was developed, performance reporting, and current efforts to build an integrated, enterprise-wide view of performance using special software. The booth will also showcase a variety of means that OGS is using to collect and respond to feedback from customers, including a customer comment card system. Information about changes in OGS= human resource management practices, consistent with its strategic plan, will also be available.

Department of Taxation and Finance

Tax will focus on their strategic planning, performance measurement, team based decision making and customer perception initiatives. They will share the processes used, accomplishments to date, lessons learned and challenges in these initiatives. They will also demonstrate their web sites for their strategic plan and total quality initiative and share informational handouts on other total quality efforts.

State Education Department

Since the early 1990's, SED has worked to incorporate the concepts of customer service, process improvement, and teamwork into the workplace. During the last five years, SED has brought greater focus to these efforts through its agency-wide strategic planning process, development of performance measures, investments in technology, and a leadership commitment to accountability for results.

SED will share their results and what they are doing to get these results: in K-12 and higher education; in professional licensing and discipline; in museums, archives and libraries; and in services provided to individuals with disabilities. Information will be available about their:

- Strategic planning process
- Approach to measuring performance
- Results of several process improvement teams
- Strategies to promote accountability
- Customer service initiatives

APPENDIX E: WORKGROUP MEMBERS

Tricia Casella-Evans	Department of Civil Service
Joe Hilton	Office of the State Comptroller
Nancy Kiyonaga	Department of Civil Service
Gen Lentlie	Department of Transportation (Retired)
Janice Nissen	Department of Public Service
Judy Thomson, Leader	Office of the State Comptroller
Deborah Berg, Facilitator	Governor's Office of Employee Relations

APPENDIX F: OVERVIEW OF THE WORKGROUPS

In January 2002, the Governor's Office of Employee Relations and the Department of Civil Service formed eight interagency workgroups, organized around selected workforce and succession planning topics. The mission of the workgroups was to compile and share information that might be useful to agencies in their workforce and succession planning efforts. This was a follow-up to issuance of the planning guide, "Our Workforce Matters," and activation of the workforce and succession planning website, both of which were made available in October 2001.

Each of the workgroups was comprised of volunteers who continued to have full-time responsibilities in their agencies. A six-month time limit was set to ensure that reports could be written before burnout set in and other priorities took precedence. The workgroups agreed to get as much done as possible in the time allotted. Their reports are being added to the workforce and succession planning website (http://www.goer.state.ny.us/workforce or http://www.cs.state.ny.us/workforce) as they are completed. In addition to Knowledge Management/Transfer, the workgroups included:

- Recruitment and Selection
- Retiree Resources
- Retention
- Competencies
- Staff Development
- Mentoring
- Management Mobility